

Applicant or Patentee:

Cesar M. COMPADRE, Philip BREEN, Hamid SALARI, E. Kim FIFER,
Danny B. LATTIN, Michael SLAVIK, Yanbin LI and Timothy O'BRIEN

Serial or Patent No.: 08/840,288

Atty. Dkt. No. 023533/0102

Filed or Issued: April 14, 1997

For: METHOD FOR THE BROAD SPECTRUM PREVENTION AND REMOVAL OF MICROBIAL
CONTAMINATION OF FOOD PRODUCTS BY QUATERNARY AMMONIUM COMPOUNDS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) AND 1.27 (c)) — NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: UNIVERSITY OF ARKANSAS

ADDRESS OF ORGANIZATION: University Tower Bldg., Suite 601, 1123 S. University, Little Rock, Arkansas

TYPE OF ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3))

☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE _____)

(CITATION OF STATUTE _____)

☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA

☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

(NAME OF STATE _____)

(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled _____ by inventor(s) _____

described in

☐ the specification filed herewith

☒ application serial no. 08/840,288, filed April 14, 1997

☐ patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: _____

ADDRESS: _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT CORPORATION

NAME: _____

ADDRESS: _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT CORPORATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate: (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Harold I. Evans

TITLE OF PERSON OTHER THAN OWNER: Associate Vice President for Legal Affairs - Research & Technology

ADDRESS OF PERSON SIGNING: University Tower Building, Suite 601, 1123 South University, Little Rock,

Arkansas 72204

SIGNATURE: _____

DATE: _____

June 25, 1997



DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD FOR THE BROAD SPECTRUM PREVENTION AND REMOVAL OF MICROBIAL CONTAMINATION OF FOOD PRODUCTS BY QUATERNARY AMMONIUM COMPOUNDS

the specification of which is attached hereto unless the following box is checked:

☒ was filed on April 14, 1997, as United States Application Number or PCT International Application Number 08/840,288 and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

PRIOR FOREIGN APPLICATION(S)

NUMBER	COUNTRY	DAY/MONTH/YEAR FILED	PRIORITY CLAIMED

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

APPLICATION NO.	FILING DATE

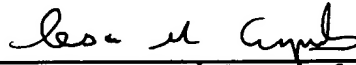
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

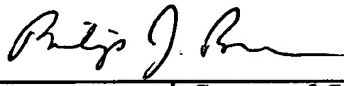
APPLICATION SERIAL NO.	FILING DATE	STATUS: PATENTED, PENDING, ABANDONED
<u>08/631,578</u>	<u>April 12, 1996</u>	<u>Pending</u>

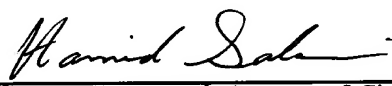
I hereby appoint as my attorneys, with full powers of substitution and revocation, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: Stephen A. Bent, Reg. No. 29,768; David A. Blumenthal, Reg. No. 26,257; William T. Ellis, Reg. No. 26,874; John J. Feldhaus, Reg. No. 28,822; Patricia D. Granados, Reg. No. 33,683; John P. Isacson, Reg. No. 33,715; Donald D. Jeffery, Reg. No. 19,980; Eugene M. Lee, Reg. No. 32,039; Peter G. Mack, Reg. No. 26,001; Brian J. McNamara, Reg. No. 32,789; Sybil Meloy, Reg. No. 22,749; George E. Quillin, Reg. No. 32,792; Colin G. Sandercock, Reg. No. 31,298; Bernhard D. Saxe, Reg. No. 28,665; Charles F. Schill, Reg. No. 27,590; Richard L. Schwaab, Reg. No. 25,479; Arthur Schwartz, Reg. No. 22,115; Harold C. Wegner, Reg. No. 25,258; Jayme A. Huleatt, Reg. No. 34,485.

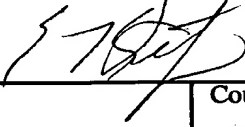
Address all correspondence to FOLEY & LARDNER, Washington Harbour, 3000 K Street, N.W., Suite 500, P.O. Box 25696, Washington, D.C. 20007-8696. Address telephone communications to Stephen A. Bent at (202) 672-5300.

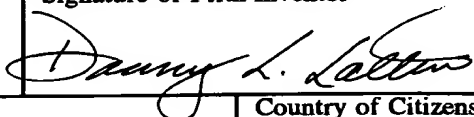
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

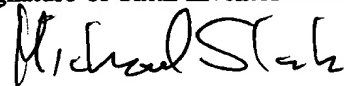
Full Name of First or Sole Inventor Dr. Cesar Compadre	Signature of First or Sole Inventor 	Date 6/24/97
Residence Address 7215 Gable, Little Rock, Arkansas 72205	Country of Citizenship Mexico, permanent U.S. resident	
Post Office Address Same as above		

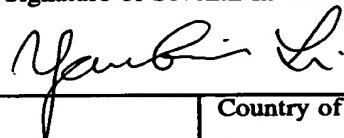
Full Name of Second Inventor Dr. Philip Breen	Signature of Second Inventor 	Date 7/11/97
Residence Address 94 Wooklore Circle, Little Rock, Arkansas 72211	Country of Citizenship USA	
Post Office Address Same as above		

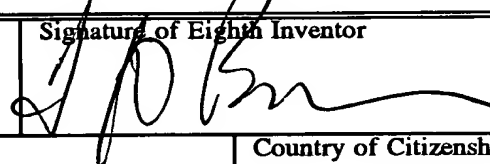
Full Name of Third Inventor Hamid Salari	Signature of Third Inventor 	Date 6/24/97
Residence Address 1720 Sanford Drive, #3, Little Rock, Arkansas 72227	Country of Citizenship Iran, permanent U.S. resident	
Post Office Address Same as above		

Full Name of Fourth Inventor E. Kim FIFER	Signature of Fourth Inventor 	Date 7/11/97
Residence Address 5908 Eagle Creek Road, Little Rock, Arkansas 72116	Country of Citizenship USA	
Post Office Address Same as above		

Full Name of Fifth Inventor Danny L. LATTIN	Signature of Fifth Inventor 	Date 7/15/97
Residence Address 1938 Victory Street, Brookings, South Dakota 57006	Country of Citizenship USA	
Post Office Address Same as above		

Full Name of Sixth Inventor Dr. Michael SLAVIK	Signature of Sixth Inventor 	Date 6/24/97
Residence Address 1713 Ridgeview Drive, Springdale, Arkansas 72762	Country of Citizenship USA	
Post Office Address Same as above		

Full Name of Seventh Inventor Yanbin LI	Signature of Seventh Inventor 	Date 6/24/97
Residence Address 1838 Glenbrook Place, Fatettville, Arkansas 72701	Country of Citizenship China	
Post Office Address Same as above		

Full Name of Eighth Inventor Timothy O'BRIEN	Signature of Eighth Inventor 	Date 7/31/97
Residence Address 2625 Gristemill, Little Rock, Arkansas 72227	Country of Citizenship USA	
Post Office Address		